

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problem Mailbox.**



04/16/04

JF-MC

\$

Certificate of Mailing By "U.S. Express Mail" Under 37 C.F.R. 1.10(c)
"EXPRESS MAIL" Mailing Label Number: EV 389013774 US Date of Deposit: 04/14/04
I hereby certify that this paper and/or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner For Patents, Washington, DC 20231.
Name: Laurie de Leon
04/14/04 Signature [Signature] Date Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Gunn III, et al.

Attorney Docket No. LUX-P005

Serial No.: 10/606,297

Examiner: Not Yet Assigned

Filed: 06/24/2003

Art Unit: 2874

For: **Integrated Optical and Electronic Devices**

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST TO CORRECT INVENTORSHIP UNDER 37 CFR. § 1.48 (a) TRANSMITTAL LETTER

Dear Sir:

1. **TRANSMITTED DOCUMENTS:** the following documents relating to the above-identified patent application are being transmitted herewith.

- ☒ a. A Request to Correct Inventorship under 37 CFR § 1.48 (a) for this application.
☒ b. A stamped, self-addressed, return postcard.
☒ c. A Check (# 1039) for \$ 130.00 to cover required fees of this correspondence.

2. **APPLICANT FILING STATUS:**

- ☐ a. Applicant is a Large Entity.
☒ b. Applicant is a Small Entity.

3. **PAYMENT OF FEES**

The full fee due in connection with this communication is provided as follows:

☐ The Commissioner is hereby authorized to charge the fees associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

☒ A Check # 1039 for \$ 130.00 for the above specified fee is enclosed. However, should Applicant inadvertently miscalculated the required fee, the Commissioner is hereby authorized to charge the necessary additional amount associated with claims in this communication or credit any overpayment to **Deposit Account No: 500482**.

Please direct all correspondence concerning the above-identified application to the following address:

FERNANDEZ AND ASSOCIATES, LLP

Patent Attorneys

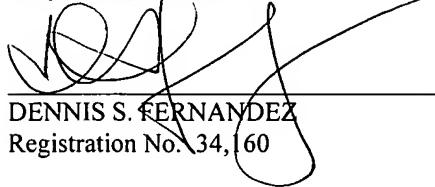
P.O. BOX D

Menlo Park, CA 94026-6204

Phone: (650) 325-4999

Fax: (650) 325-1203

Respectfully submitted,



DENNIS S. FERNANDEZ
Registration No. 34,160

04/14/04

Date



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gunn III, et al Filed: 06/24/2003
Serial No.: 10/606,297 Group Art Unit: 2874
Attorney Docket No.: LUX-P005
Title: "Integrated Optical and Electronic Devices"

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST TO CORRECT INVENTORSHIP UNDER 37 CFR § 1.48 (a)

Dear Sir or Madam:

Please correct the inventorship in the patent application identified above. The application has seven inventors. Please add the following two inventors:

Giovanni Capellini, 220 Via Degli Scipioni, Roma, 00192, a citizen of Italy;

Bing Li, 7565 Charmant Dr. #609, San Diego, CA 92122, a citizen of China.

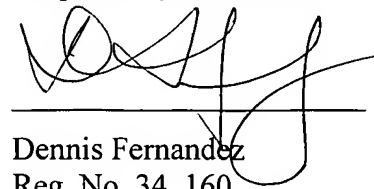
In compliance with Rule 37 CFR § 1.48 (a), along with this request, I enclosed :

1. A re-executed "Declaration and Power of Attorney" from all inventors.
2. A statement from Mr. Capellini indicating that the error in inventorship occurred without deceptive intention on his part.
3. A consent letter from Assignee to correct the inventorship along with copies of executed assignments by inventors.

04/14/04

Date

Respectfully submitted,



Dennis Fernandez
Reg. No. 34, 160

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204
(650) 325-4999
(650) 325-1203 FAX

04/19/2004 ZJUHR1 00000043 10606297

01 FC:1460

130.00 0P



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gunn III, et al Filed: 06/24/2003
Serial No.: 10/606,297 Group Art Unit: 2874
Attorney Docket No.: LUX-P005
Title: "Integrated Optical and Electronic Devices"

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INVENTOR STATEMENT UNDER 37 CFR § 1.48 (a)

Dear Sir or Madam:

I, Bing Li, am a joint inventor of the patent application identified above, and state that the inventorship error has occurred without deceptive intention on my part.

Sincerely,

Bing Li

Joint Inventor



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gunn III, et al Filed: 06/24/2003
Serial No.: 10/606,297 Group Art Unit: 2874
Attorney Docket No.: LUX-P005
Title: "Integrated Optical and Electronic Devices"

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INVENTOR STATEMENT UNDER 37 CFR § 1.48 (a)

Dear Sir or Madam:

I, Giovanni Capellini, am a joint inventor of the patent application identified above, and state that the inventorship error has occurred without deceptive intention on my part.

Sincerely,

Giovanni Capellini

Joint Inventor



Docket No: LUX-P005

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, postal address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original first and joint inventor (if multiple names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

INTEGRATED OPTICAL AND ELECTRONIC DEVICES

the specification of which is attached hereto unless the following information is indicated:

X was filed on 6/24/2003;
as United States Application Number 10/606,297;

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendments referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 CFR 1.56.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

<u>60/391,278</u>	<u>6/24/2002</u>
(Application No.)	(Month/Day/Year Filed)
<u>60/393,489</u>	<u>7/3/2002</u>
(Application No.)	(Month/Day/Year Filed)
<u>60/393,490</u>	<u>7/3/2002</u>
(Application No.)	(Month/Day/Year Filed)
<u>60/393,485</u>	<u>7/3/2002</u>
(Application No.)	(Month/Day/Year Filed)
<u>60/393,683</u>	<u>7/3/2002</u>
(Application No.)	(Month/Day/Year Filed)
<u>60/393,682</u>	<u>7/3/2002</u>
(Application No.)	(Month/Day/Year Filed)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

DENNIS S. FERNANDEZ, REG. NO. 34,160
MIRCEA ACHIRILOAIE, REG. NO. 48,880
ROBERT LEE, REG. NO. 42,790
CHUNG S. PARK, REG. NO. 52,093
BEHFAR BASTANI-BOOSHEHRI, REG. NO. 52,599
JAMES HARRIS, REG. NO. 52,995


Application Serial No.: N/A


Docket No: LUX-P005

Send Correspondence and Communications to:

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204
PHONE: (650) 325-4999
FAX: (650) 325-1203
EMAIL: *iploft@iploft.com*

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and beliefs are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: LAWRENCE C. GUNN III	
Inventor's signature 	Date 4/5/04
Residence: 1385 HYMETTUS, ENCINITAS, CA 92024	
Citizenship: UNITED STATES OF AMERICA	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: THIERRY J. PINGUET	
Inventor's signature 	Date 3/1/2004
Residence: 2382 CAROL VIEW DRIVE, #317, CARDIF-BY-THE-SEA, CA 92007	
Citizenship: FRANCE	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: MAXIME JEAN RATTIER	
Inventor's signature	Date
Residence: 35 RUE DES ARTISTES, F-75014 PARIS	
Citizenship: FRANCE	
Postal Address: SAME AS RESIDENCE	

Application Serial No.: N/A

Docket No: LUX-P005

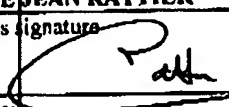
Send Correspondence and Communications to:

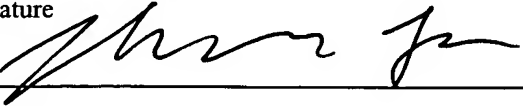
FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204
PHONE: (650) 325-4999
FAX: (650) 325-1203
EMAIL: iploft@iploft.com

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and beliefs are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: LAWRENCE C. GUNN III	
Inventor's signature	Date
Residence: 1385 HYMETTUS, ENCINITAS, CA 92024	
Citizenship: UNITED STATES OF AMERICA	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: THIERRY J. PINGUET	
Inventor's signature	Date
Residence: 2382 CAROL VIEW DRIVE, #317, CARDIF-BY-THE-SEA, CA 92007	
Citizenship: FRANCE	
Postal Address: SAME AS RESIDENCE	

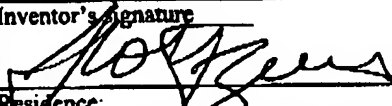
Full name of sole or first inventor: MAXIME JEAN RATTIER	
Inventor's signature 	Date 3/2/2004
Residence: 35 RUE DES ARTISTES, F-75014 PARIS	
Citizenship: FRANCE	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: ZHEN-LI JI	
Inventor's signature 	Date <i>March 3, 2004</i>
Residence: 679 EARLHAM STREET, PASADENA, CA 91101	
Citizenship: CANADA	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: JEREMY WITZENS	
Inventor's signature	Date
Residence: 130 S. MICHIGAN AVENUE, PASADENA, CA 91106	
Citizenship: GERMANY	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: GIOVANNI CAPELLINI	
Inventor's signature	Date
Residence: 220 VIA DEGLI SCIPIONI	
Citizenship: ITALY	
Postal Address: SAME AS RESIDENCE	

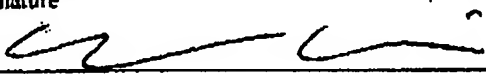
Full name of sole or first inventor: ZHEN-LI JI	
Inventor's signature	Date
Residence: 679 EARLHAM STREET, PASADENA, CA 91101	
Citizenship: CANADA	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: JEREMY WITZENS	
Inventor's signature 	Date 03.02.04
Residence: 136 S. MICHIGAN AVENUE, PASADENA, CA 91106	
Citizenship: GERMANY	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: GIOVANNI CAPELLINI	
Inventor's signature	Date
Residence: 220 VIA DEGLI SCIPIONI	
Citizenship: ITALY	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: ZHEN-LI JI	
Inventor's signature	Date
Residence: 679 EARLHAM STREET, PASADENA, CA 91101	
Citizenship: CANADA	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: JEREMY WITZENS	
Inventor's signature	Date
Residence: 130 S. MICHIGAN AVENUE, PASADENA, CA 91106	
Citizenship: GERMANY	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor: GIOVANNI CAPELLINI	
Inventor's signature 	Date 03/01/04
Residence: 220 VIA DEGLI SCIPIONI, I-00192 ROMA	
Citizenship: ITALY	
Postal Address: SAME AS RESIDENCE	

Full name of sole or first inventor:

BING LI

Inventor's signature

Li

Date

03/28/2004

Residence:

7565 CHARMANT DR. #609, SAN DIEGO, CA, 92122

Citizenship:

CHINA

Postal Address:

SAME AS RESIDENCE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gunn III, et al Filed: 06/24/2003
Serial No.: 10/606,297 Group Art Unit: 2874
Attorney Docket No.: LUX-P005

Title: "Integrated Optical and Electronic Devices"

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

STATEMENT OF NO DECEPTIVE INTENTION UNDER 37 CFR § 1.48 (a)

Dear Sir or Madam:

I, Alex Dickinson (CEO of Luxtera, Inc) hereby consent to the requested correction of inventorship. I have authority to act on behalf of assignee Luxtera, Inc. Proof of ownership under 37 CFR §3.73 is hereby established by the submission of copies of executed assignments from the inventors.

Sincerely,

Alex Dickinson
CEO, Luxtera, Inc.

Docket No. : LUX-P005

ASSIGNMENT

Whereas, We, LAWRENCE C. GUNN III, THIERRY J. PINGUET, MAXIME JEAN RATTIER, ZHEN-LI JI, and JEREMY WITZENS, having agreed to assign the below identified invention to LUXTERA, INC ("LUXTERA"), a Delaware corporation having its principal place of business at 1819 Aston Avenue, Carlsbad, CA 92008 for good and valuable consideration, receipt of which is hereby acknowledged, I do hereby sell, assign, and transfer unto LUXTERA, its successors and assigns, the entire right, title, and interest, including the right of priority in, to and under an application for Letters Patents of the United States entitled:

INTEGRATED OPTICAL AND ELECTRONIC DEVICES

_____ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

☒ Serial No.: 60/391,278, filed on June 24, 2002
☒ Serial No.: 60/393,489, filed on July 3, 2002
☒ Serial No.: 60/393,490, filed on July 3, 2002
☒ Serial No.: 60/393,485, filed on July 3, 2002
☒ Serial No.: 60/393,683, filed on July 3, 2002
☒ Serial No.: 60/393,682, filed on July 3, 2002

and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of LUXTERA, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional, or reissue, or other papers which may be necessary or desirable fully to secure to LUXTERA, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent.

Inventor's Signature: LC Gunn III Date: 6/24/03
LAWRENCE C. GUNN III

Inventor's Signature: Thierry J. Pinguet Date: 6/24/03
THIERRY J. PINGUET

Inventor's Signature: Maxime Jean Rattier Date: 6/24/2003
MAXIME JEAN RATTIER

Inventor's Signature: Zhen-Li Ji Date: 6/25/2003
ZHEN-LI JI

Inventor's Signature: Jeremy Witzens Date: 6/24/2003
JEREMY WITZENS

ASSIGNMENT

Whereas, I, Bing Li, having agreed to assign the below identified invention to LUXTERA, INC ("LUXTERA"), a Delaware corporation having its principal place of business at 1819 Aston Avenue, Carlsbad, CA 92008 for good and valuable consideration, receipt of which is hereby acknowledged, I do hereby sell, assign, and transfer unto LUXTERA, its successors and assigns, the entire right, title, and interest, including the right of priority in, to and under an application for Letters Patents of the United States entitled:

INTEGRATED OPTICAL AND ELECTRONIC DEVICES

_____ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefore; or

X Serial No.: 10/606,297, filed on 06/24/2003 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefore;

And for the above consideration, we agree promptly upon request of LUXTERA, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional, or reissue, or other papers which may be necessary or desirable fully to secure to LUXTERA, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent.

Inventor's Signature: _____



BING LI

Date: _____

03/28/2004

Docket No.: LUX-P005

ASSIGNMENT

Whereas, I, Giovanni Capellini, having agreed to assign the below identified invention to LUXTERA, INC. ("LUXTERA"), a Delaware corporation having its principal place of business at 1819 Aston Avenue, Carlsbad, CA 92008 for good and valuable consideration, receipt of which is hereby acknowledged, I do hereby sell, assign, and transfer unto LUXTERA, its successors and assigns, the entire right, title, and interest, including the right of priority in, to and under an application for Letters Patents of the United States entitled:

INTEGRATED OPTICAL AND ELECTRONIC DEVICES

_____ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

X Serial No.: 10/606,297, filed on 06/24/2003 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of LUXTERA, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional, or reissue, or other papers which may be necessary or desirable fully to secure to LUXTERA, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent.

Inventor's Signature: _____

GIOVANNI CAPELLINI

Date: 03/01/04